

Please type a plus sign (+) inside this box ☐

PTO/SB/08B (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U. S. Patent and Trademark Office: U. S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

2

Complete if Known

Application Number	09/476,448
Filing Date	December 30, 1999
First Named Inventor	Stuart Lee BRESLOW et al.
Group Art Unit	3627
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	4797-34

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
ASR		DLJ Direct, "DLJ Direct Home Page" (visited August 3, 1999) <http://www.dljdirect.com/> (1 pg.)	
↑		JH Darbie & Co., "JH Darbie Home Page" (visited August 3, 1999) <http://www.jhdarbie.com/home.html> (1 pg.)	
		Being Seen, "Online Stock Brokers: The Essential Internet Investor" (visited August 3, 1999) <http://beseen.com/stocks/brokers.html> (2 pgs.)	
		Accutrade, "Accutrade Home Page" (visited August 3, 1999) <http://www.accutrade.com/> (1 pg.)	
		RapidTrade, "RapidTrade Home Page" (visited August 3, 1999) <http://www.rapidtrade.com/> (1 pg.)	
↓		SEC, "Learn About Investing: The Internet and Online Trading" (visited August 3, 1999) <http://www.sec.gov/consumer/jneton.htm> (2 pg.)	
ASR		Standard and Poor's, "Retail Investor Services" (visited August 3, 1999) <http://www.stockinfo.standardpoor.com/> (1 pg.)	

RECEIVED
JAN 15 2004
GROUP 3600

Examiner
Signature

Andrew Joseph Rudy

Date

Considered

June 15, 2004

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box

PTO/SB/08B (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U. S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	09/476,448
Filing Date	December 30, 1999
First Named Inventor	Stuart Lee BRESLOW et al.
Group Art Unit	3627
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	4797-34

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
ASR		Day Trading Stocks.com, "Day Trading Stocks.com Home Page" (visited August 3, 1999) <http://daytradingstocks.com/> (3 pgs.)	
↑		E*trade.com, "Etrade Home Page" (visited August 3, 1999) <http://www.etrade.com/cgi-bin/gx.cgi/AppLogic%2bHome> (1 pg.)	
		Ameritrade, "Ameritrade Home Page" (visited August 3, 1999) <http://www.ameritrade.com> (1 pg.)	
		Charles Schwab, "Charles Schwab Home Page" (visited August 3, 1999) <http://www.schwab.com/SchwabNOW/mainBody.html> (2 pg.)	
		Daytek Online, "Daytek Home Page" (visited August 3, 1999) <http://www.daytek.com/> (1 pg.)	
		The Daytraders Network, "The Daytraders Network Home Page" (visited August 3, 1999) <http://www.daytradersnet.com/> (2 pg.)	
		Discover Brokerage, "Discover Brokerage Home Page" (visited August 3, 1999) <http://www.lombard.com/> (1 pg.)	
		Fidelity Brokerage, "Fidelity Brokerage Home Page" (visited August 3, 1999) <http://www300.fidelity.com/index.shtml> (1 pg.)	
		Suretrade, "Suretrade Home Page" (visited August 3, 1999) <http://www.suretrade.com/Navigation/Visitor/welcome.html> (1 pg.)	
↓		Trading Direct, "Trading Direct Home Page" (visited August 3, 1999) <http://www.tradingdirect.com/YOR/homeformat.html> (1 pg.)	
ASR		American Express, "American Express Financial Direct Home Page" (visited August 3, 1999) <http://www.americanexpress.com/amex/bu/cda/main/1,1484,116,00.asp> (2 pgs.)	

RECEIVED

JAN 15 2004

GROUP 3600

Examiner
Signature

Andrew Joseph Rudy

Date
Considered

June 15, 2004

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.